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Substitute for form 1.449A/P.T.Q.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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| Sheet | 1 | of | 3 |
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|-------------------------------|---------------------------|
| Application Number | 09/896,811 |
| Filing Date | June 29, 2001 |
| First Named Inventor | Madden, Thomas D., et. al |
| Art Unit | 1614 |
| Examiner Name | Clinton T. Ostrup |
| Attorney Docket Number | 16303-008020 |

U.S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | | | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
|--------------------|-----------------------|---------------------------|---------------------|-----------------------------------|--------------------------------|---|--|--------------------------|
| | | Country Code ³ | Number ⁴ | Kind Code ⁵ (if known) | | | | |
| CFO | 4 | PC | WO 95/08986 | A1 | 04/06/1995 | | | <input type="checkbox"/> |
| | 5 | PC | WO 98/17256 | A1 | 04/30/1998 | | | <input type="checkbox"/> |
| | 6 | PC | WO 99/13816 | A2 | 03/25/1999 | | | <input type="checkbox"/> |
| | 7 | PC | WO 99/51202 | A2 | 10/14/1999 | | | <input type="checkbox"/> |
| | 8 | PC | WO 00/23052 | A1 | 04/27/2000 | | | <input type="checkbox"/> |
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¹ Applicant's unique citation designation number (optional). ² Kind Codes of U.S. Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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WC 9047788 v1



PTO/SB/08B (10-01)

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|---|---|--------------------------|----------------------------|
| Substitute for form 1449B/PTO | | Complete if Known | |
| | | Application Number | 09/896,811 |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) | | Filing Date | June 29, 2001 |
| | | First Named Inventor | Madden, Thomas D., et. al. |
| | | Art Unit | 1614 |
| | | Examiner Name | Clinton T. Ostrup |
| | | Attorney Docket Number | 16303-008020 |
| Sheet | 2 | of | 3 |

| OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS | | | |
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| Examiner Initials * | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
| CTO | 9 | BURRIS III, et al., <i>J. Natl. Cancer Inst.</i> , 84:1816-1820 (1992) | |
| | 10 | CLEMENTS, et al., <i>Cancer Chemotherm. Pharmacol.</i> , 44:411-416 (1999) | |
| | 11 | EMERSON, et al., <i>Cancer Res.</i> , 55:603-609 (1995) | |
| | 12 | ERICKSON-MILLER, et al., <i>Cancer Chemother. Pharmacol.</i> , 39:467-472 (1997) | |
| | 13 | GROCHOW, et al., <i>Drug. Metab. Dispos.</i> , 20(5):706-713 (1992) | |
| | 14 | HARDMAN, et al., <i>Anticancer Res.</i> , 19:2269-2274 (1999) | |
| | 15 | HSIANG, et al., <i>Cancer Res.</i> , 48:1722-1726 (1988) | |
| | 16 | MADDEN, et al., <i>Chem. Phys. Lipids</i> , 53:37-46 (1990) | |
| | 17 | MADDEN, et al., "Encapsulation of topotecan in lipid-based carrier systems. Evaluation of drug stability and plasma elimination in a murine model, and comparison of antitumor efficacy against murine L1210 and B16 tumors," <i>Proc. of ASCO</i> , 17:abstract #754 (1998) | |
| | 18 | MAYER, et al., <i>Biochim. Biophys. Acta</i> , 1025:143-151 (1990) | |
| | 19 | MCCABE, et al., <i>Cancer Invest.</i> , 12(3):308-313 (1994) | |
| | 20 | O'LEARY, et al., <i>Clin. Cancer Res.</i> , 5:181-187 (1999) | |
| CTO | 21 | ORMROD, et al., <i>Drugs</i> , 58(3):533-551 (1999) | |
| | 22 | TARDI, et al., <i>Cancer Res.</i> , 60:3389-3393 (2000) | |

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| Examiner Signature | | Date Considered | 11/13/03 |
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Sheet 3 of 3

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| Examiner Initials * | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T ² |
|------------------------|--------------------------|---|----------------|
| CTO | 23 | THOMPSON, <i>Biochim. Biophys. Acta</i> , 1400:301-319 (1998) | |
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| | | | |

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11/13/03

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